

Iowa Department of Education

SCHOOLS IN NEED OF ASSISTANCE (SINA) APPLICATION

Note: Local education agencies having at least one attendance center identified as a school in need of assistance need to complete this application process.

For technical assistance with the SINA program application, contact the Title I Consultant for your particular Area Education Agency (AEA).

The reauthorized Elementary and Secondary Education Act (ESEA) *No Child Left Behind Act of 2001 (NCLB)* continues to emphasize the goal of all students being proficient in reading and mathematics. Each year LEAs provide the Adequate Yearly Progress (AYP) data of students in Title I schools. When a school fails to make AYP for a single year, it is identified as a school in the "Watch" year. Schools in "Watch" year status do not face sanctions. However, to fulfill Title I Federal requirements (Section 1116) of ESEA, school buildings that do not make adequate yearly progress for two consecutive years are designated as schools in need of assistance (SINA). Buildings identified for two or more consecutive years in reading and/or mathematics must participate in a technical assistance program provided through the SEA. Efforts at the state, district and building levels must concentrate on actions that will be undertaken to assist all students in attaining proficiency. LEAs should be cognizant of this requirement and plan educational programming that implements strategies for improved student achievement.

Title I legislation requires buildings identified as SINA to publish a public notice related to this identification. In addition, this notice must provide parents with information regarding school choice options within the LEA.

A Statewide Support System for SINA has representatives from each area education agency. These individuals have received training to assist identified schools. An identified school must develop an action plan within 90 days of notification by the Iowa Department of Education. For technical assistance with compliance issues contact your Title I consultant. For technical assistance with the Statewide Support System process, contact Amy Williamson, 515/339-4122, amy.williamson@iowa.gov

The Iowa Department of Education is required by NCLB legislation, Section 1003, to reserve school improvement funds from the State Title I allocation. These funds must be used at the local level for the purpose of funding school improvement activities designed to improve student achievement in schools in need of assistance (SINA). Through a state allocation process these funds are allocated annually to local school districts for use in identified buildings.

Local education agencies that have received notification for a Title I school in need of assistance (SINA) and have received notification of school improvement grant funds that are available for use in the 2014-2015 school year to fund activities that support the building action plan must complete the SINA application in order to receive those funds. The SINA assurances and budgets may be accessed through the Title I electronic Internet application at <https://portal.ed.iowa.gov>. The Iowa Department of Education Iowa Education Portal site will appear. On the blue navigation menu bar, highlight "A&A Account" and click on "Sign In." On the "Sign In" tab, enter your Account ID (e-mail address) and password to sign into DOE – Education Portal. Click the "Sign In" button. The user should click **Title I** to access the Title I application Home screen.

Completion of the School Improvement SINA Budget for the district, School Improvement SINA Budget for each identified building, and School Improvement Assurances SINA forms together with the building Title I SINA action plan encompasses the basic requirements to apply for SINA funds. In addition, the district must complete the Within District Targeting of Funds (WDTF) form.

Note: LEAs receiving Title I SINA funds must complete a budget and participate in the development of the Title I SINA Action Plan for each identified school in need of assistance.

SINA

Schools in Need of Assistance, DINA, Choice, SES, State Support Team

CONTACTS

Note: The Contacts screen must be completed in order to proceed with the application process.

The Contacts screen is where the Title I coordinator will enter contact information in the available areas. The contact person is the individual who will be contacted about information given in the SINA application.

Contacts

+ Add New Contact

The user will see a listing of the Title I application programs that pertain to their local education agency and may see information listed for the last Title I SINA contact of record. The user will have the option to click the **Delete** button if the contact information is incorrect or the **Edit** button to update the contact information or leave it as listed. Please verify the SINA contact person's e-mail address, name, mailing address, office telephone number, and title.

SINA

First Name	Last Name	E-mail	Phone	Title	
Joe	Smith	jsmith@school.k12.ia.us	123/456-7890 Ext. 987	Superintendent	<div>Delete</div> <div>Edit</div>

SINA

No Contacts

If there is no SINA contact listed from the previous year, the user should click the **No Contacts** button to enter the correct information in the Contact form and then click the **Save** button.

SINA ASSURANCES

Click on "School Improvement" to open the SINA program application menu and click on SINA Assurances to begin the application process. **Note:** The School Improvement SINA Program application will only be available if your district has a Title I building that has been designated as a school in need of assistance (SINA).

The SINA Assurances form will be displayed. The assurances should be reviewed and the user should click on the box at the bottom to certify that the information contained in the SINA application and action plan is correct and that the user has been given the responsibility of acting as the authorized representative for the LEA. In certifying the assurances, the authorized agent also assures the Iowa Department of Education that the Title I SINA assurances will be implemented and complied with as stated and that it is understood that the local education agency must comply with all applicable requirements upon approval of this application and plan by the SEA.

Following the peer review process for the two-year SINA action plan and the Iowa Department of Education approval of the SINA application, half (50%) of the SINA allocation will be distributed to the LEA. The LEA must report the budget as final upon the completion of the project, which should be no later than July 15, 2015. The remainder of the funds will be distributed after the final certification is approved. All funds must be expended by June 30, 2015. **Funds may not be carried over into the following school year.** However, schools that remain on the SINA list or have SINA delay status may receive funds as available for the following year.

Iowa schools have worked hard to improve student achievement. On-going efforts and new initiatives are designed to continue this work and to benefit students. Thank you for your work as you proceed with this task. If you have questions, please contact your consultant for technical assistance, compliance issues and questions regarding the Statewide Support System process.

Once the SINA Assurances form has been certified, click the **Finish** button to save this action and return to the SINA Program Home screen. The SINA Assurances form will show the “District Finished” status.

Click the SINA Budget form to be completed next.

SINA BUDGET

There are two Title I SINA budget forms: (1) the Title I SINA Program Budget Summary which represents the total **district** amounts requested for specific items found in the Budget for each identified building receiving School Improvement SINA funds; and (2) the Title I SINA Program Budget form which provides an **itemized** account of expenditures to be incurred for the identified **building**. The SINA budget is supported with additional Title I dollars allocated to your LEA. The SINA budget is to reflect expenditures that assist with the implementation of your SINA action plan. Therefore, there should be a direct and clearly discernible correlation between your SINA action plan and budget items. SINA funds must be used for activities that have the best possibility to improve and sustain student achievement and foster systemic change within your school. SINA funds cannot be used for expenditures that do not have a direct impact on student achievement (e.g. an extensive technology purchase, furniture, copier). **Note:** SINA funds cannot be carried over.

No data can be entered on the Title I SINA Program Budget Summary form for the district. This is a summary table that displays totals automatically transferred from the SINA Program Budget form for each identified building. To enter or review the Title I SINA budget for an identified building, from the SINA Home screen menu, click the building name.

Once the SINA Program Budget form is displayed for the identified building, the user will be allowed to enter the specific breakdown of Title I SINA expenditures claimed on the budget, and, if necessary, to provide a description of expenditures.

The user may only enter SINA budget figures on the **building** SINA Program Budget form and those figures will be automatically placed into the district Title I SINA Program Budget Summary table each time the user clicks the **Tab** button. **Note: Do not attempt to enter any figures in the “Total” fields as the total is automatically calculated as you enter specific expenditure figures.** Round all amounts to the nearest dollar. Be sure the total project budget amount applied for on the Title I SINA Program Budget does not exceed the Title I SINA allocation as noted on the SINA Program Budget form.

✓ **TIP: Click Save often to avoid losing data.**

The building SINA Budget form has as its purpose the providing of detail that is not possible to provide in the district Title I SINA Program Budget. To assist you with this specific budget development, the following explanation of the Title I Budget will be made by discussing the nine columns moving left to right across the top of the budget.

✓ **TIP: Expenditures included in the budget will be approved only if the connection to the action plan is clear.**

FUNCTIONS		OBJECTS					
Expenditure Accounts	Salaries 100	Employee Benefits 200	Purchased Services 300	Supplies 600	Property 700	Other Expenses/Other uses of Funds 800	TOTAL

Functions – Each function number represents a broad series of expenditures used in uniform financial accounting.

Expenditure Accounts – These expenditure categories represent the names of expenditure accounts to be used to classify Title I SINA expenditures.

Objects – Salaries – The salary amounts include all payments for services rendered that will be paid directly by the LEA from Title I SINA funds to existing teachers who work beyond the contract day or year for SINA related activities.

Objects – Employee Benefits – Title I SINA funds may be used to pay Iowa Public Employees Retirement System (IPERS), Federal Insurance Contribution Act (FICA) of salaried Title I employees employed for the purpose of the SINA project within the identified building, and other related benefits. Since the percent of contribution on both the above-

mentioned programs may change, proposed expenditures should be based upon the current percent of 7.65% for FICA and 8.93% for IPERS. **The user must itemize the employee benefits by categories on the Budget Detail screen – FICA, IPERS, and Insurance (e.g. workers compensation insurance, medical, dental, disability, life insurance, and unemployment).**

Objects – Purchased Services – Purchased Services includes all payments to be made to other agencies or individuals not on the payroll for specific services performed for the SINA project within the identified building. **Note:** Equipment repair is considered a purchased services expense.

Objects – Supplies – Approvable amounts for materials and supplies for the Title I school improvement project are to be entered in the Supplies column. Expenditures for materials and supplies will be limited to the minimum required to implement and continue Title I SINA activities or services. Examples of supplies are consumable materials, computer software, books, manuals, etc. **Expenditures for Title I SINA supplies to be purchased must be itemized by category as identified on the building SINA Budget form.**

Objects – Property – Approvable amounts for instructional equipment are to be entered in the Property Column. Expenditures for instructional equipment will be limited to the minimum required to implement and continue Title I SINA activities or services. Examples of items budgeted in property might be computer hardware or furniture. **Expenditures for Title I SINA property to be purchased must be itemized by category as identified on the SINA Budget form.**

Objects – Other Expenses and Other Uses of Funds -- The Other Expenses Column includes other expenditures not classified as Salaries, Employee Benefits, Purchased Services, Supplies or Property. This is the column to use for professional dues and indirect costs.

Objects – Total – This column includes the sum total of amounts recorded in each of the preceding columns.

✓ **TIP: See Function explanations below for proper placement of these costs.**

Explanation of the Functions 1000-4000 requires certain detail related to regulations governing Title I SINA expenses. Each expenditure category is explained as follows:

FUNCTIONS		OBJECTS					
Expenditure Accounts	Salaries 100	Employee Benefits 200	Purchased Services 300	Supplies 600	Property 700	Other Expenses/Other uses of Funds 800	TOTAL
Instruction 1000	Total \$60,640	Total \$2,705	Total \$11,225	Total \$1,000	Total \$0	Total \$0	\$75,570
	Certified \$2,640 salary	FICA \$1,898	Travel Between Bldgs \$0	Consumables \$0	Computer \$0	Prof. Dues \$0	
	Associates \$4,400 salary	IPERS \$807	Prof. Staff Development \$11,225	Software \$1,000		Other (No Indirect Costs) \$0	
	Subs \$5,455 salary	Ins \$0	Other (No Indirect Costs) \$0	Title I Books \$0	Other (No Indirect Costs) \$0		
	Other (No Indirect Costs) \$48,145	Other (No Indirect Costs)		Diagnostic Testing Mat. \$0			
	Instructional Coaches or Reading Specialist			Other (No Indirect Costs) \$0			

Function 1000 – Instruction – Instruction costs would include salaries and employee benefits that are paid to existing teachers who work beyond the contract day or year for such purposes as additional professional development, student academic assistance, parent engagement planning or presentation, or other activities as appropriate. **Note:** Additional staff may not be hired for the purpose of adding additional grade level sections or reducing class size, but they can be hired as instructional coaches. However, substitute teachers or temporary staff may be hired for the purpose of developing, implementing or evaluating the SINA action plan. Title I SINA funds may be used to pay employee benefits under the Iowa Public Employees Retirement System (IPERS) and Federal Insurance Contribution Act (FICA) for salaried Title I teachers and educational associates as these are mandated by law.

Purchased Services would include stipends paid to non-district employees for such things as professional development activities and material or program development specific to the SINA action plan. The Supplies column includes approvable amounts for *supplementary* materials that are directly connected to the SINA action plan that would not ordinarily be the responsibility of the district. The Property costs would be utilized for approvable amounts for *supplementary* instructional equipment that is directly connected to the SINA action plan that is beyond that typically purchased by the district.

Other Expenses and Other Uses of Funds would include indirect costs and would not be included under Function 1000 Instruction costs.

✓ **TIP: Indirect Costs go under Function 2300.**

FUNCTIONS	OBJECTS						
Expenditure Accounts	Salaries 100	Employee Benefits 200	Purchased Services 300	Supplies 600	Property 700	Other Expenses/Other uses of Funds 800	TOTAL
Instructional Staff and Support Services 2200			Total \$0 Travel Between Bldgs \$0 Other \$0				\$0

Function 2200 – Instructional Staff and Support Services – Purchased Services includes amounts for in-service and travel.

FUNCTIONS	OBJECTS						
Expenditure Accounts	Salaries 100	Employee Benefits 200	Purchased Services 300	Supplies 600	Property 700	Other Expenses/Other uses of Funds 800	TOTAL
Administration Support Services 2300	Total \$0 Title I Coord salary \$0 Clerical salary \$0 Other \$0	Total \$0 FICA \$0 IPERS \$0 Ins \$0	Total \$0 Audit (if \$0 eligible) Other \$0			Total \$2,680 Indirect Cost \$2,680 Other \$0	\$2,680

Function 2300 – Administration Support Services – Salaries and Employee Benefits for the administration of Title I programs cannot be paid from Title I SINA funds.

Approvable amounts for restricted indirect costs are to be entered on the Title I SINA project budget in the column, Other Expenses and Other Uses of Funds.

Indirect Costs are those costs that are not readily identifiable with the activities or contracted services, but are nevertheless incurred for the joint benefit of those activities and programs of the organization. **Note:** Indirect cost expenditures must comply with the U.S. Office of Management and Budget Circular A87.

The Iowa Department of Education annually calculates the indirect cost rates for LEAs from data submitted on their certified annual reports. The Iowa Restricted Indirect Cost Plan for LEAs establishes maximum predetermined rates for a given fiscal year. The advantage of an Indirect Cost Allocation Plan and rate is that it is a simplified means for determining a fair share for indirect costs of Federal grants and contracts. For information regarding the indirect cost rate calculation, contact Janice Evans, School Finance Consultant at 515/281-4740 or janice.evans@iowa.gov.

The indirect cost rate percentages for each LEA can be found at the Iowa Department of Education website at <https://www.educateiowa.gov/indirect-cost-rate>. **The restricted indirect cost percentage can be applied only to the amounts of salaries and employee benefits approved for Title I SINA staff.**

✓ **TIP:** If the indirect cost amount applied for on the budget exceeds the maximum allowed for budgeted salaries and benefits, a RED warning will be received and will need to be corrected prior to proceeding.

Note: For Title I purposes, the given fiscal year indirect cost rate applies to the project established for the school year and remains in place even when project expenditures extend into the next fiscal year.

FUNCTIONS	OBJECTS						
Expenditure Accounts	Salaries 100	Employee Benefits 200	Purchased Services 300	Supplies 600	Property 700	Other Expenses/Other uses of Funds 800	TOTAL
Student Transportation Services 2700	Total \$0 Input \$0 Total	Total \$0 FICA \$0 Ins \$0	Total \$0 Input \$0 Total				\$0

Function 2700 – Student Transportation Services – There would be few instances where Title I SINA dollars could be used for transportation.

Note: The district set-aside from Title I general budget project funds cover transportation costs for school choice.

FUNCTIONS	OBJECTS						
Expenditure Accounts	Salaries 100	Employee Benefits 200	Purchased Services 300	Supplies 600	Property 700	Other Expenses/Other uses of Funds 800	TOTAL
School Nutrition Services 3100	Total \$0 Input \$0 Total	Total \$0 FICA \$0 IPERS \$0 Ins \$0	Total \$0 Input \$0 Total	Total \$0 Input \$0 Total			\$0

Function 3100 – School Nutrition Services – Title I SINA funds may be used for providing food and food services only when they are not covered by State or Federal funds received from the Bureau of Nutrition and Health Services of the Iowa Department of Education. The SEA will review each request individually.

FUNCTIONS	OBJECTS						
Expenditure Accounts	Salaries 100	Employee Benefits 200	Purchased Services 300	Supplies 600	Property 700	Other Expenses/Other uses of Funds 800	TOTAL
Community Services (Parent) 3300	Total \$0 Input \$0 Total	Total \$0 FICA \$0 IPERS \$0 Ins \$0	Total \$0 Input \$0 Total	Total \$1,750 Input \$1,750 Total			\$1,750

Function 3300 – Community Services (Parent) – Title I SINA funds used for community services (parent) would include all costs incurred for parent/family engagement activities beyond those that are the responsibility of the district such as a nominal amount for food provided as part of a parent meeting or activity; childcare during parent activities; printing for

parent activities; books for at-home reading. **Note:** Only activities beyond those already funded by Title I general budget project funds would be allowed.

SINA BUDGET TIP SHEET

- There should be a clearly apparent connection between each budget item and the SINA action plan.
- Most budget items for SINA will fit in line item 1000 “Instruction” and line item 3300 “Community Services (Parent).”
- Line item 1000 “Instruction” would include salaries and benefits that are paid to existing teachers who work beyond the contract day or year for such purposes as:
 1. Additional professional development.
 2. Student academic assistance.
 3. Parent engagement planning or presentation.
 4. Other activities as appropriate.**Note:** Additional staff may not be hired for the purpose of adding additional grade level sections or reducing class size. However, substitute teachers or temporary staff may be hired for the purpose of developing, implementing, or evaluating the SINA action plan.
- Line item 1000 “Purchased Services” would include stipends paid to non-district employees for such things as:
 1. professional development activities;
 2. material or program development specific to the action plan.
- Line item 1000 “Supplies” would be used for materials that are directly connected to the SINA action plan that would not ordinarily be the responsibility of the district (Supplement vs. Supplant).
- Line item 1000 “Property” would be utilized for equipment that is directly connected to the SINA action plan that is beyond that typically purchased by the district (Supplement vs. Supplant).
- Line item 2300 “Other Expenses” would include indirect costs. Indirect cost rates are posted annually on the Iowa Department of Education website. District indirect costs are calculated only on budgeted salaries and benefits.
- Line item 3300 Community Services (Parent) would include all costs incurred for parent/family engagement activities beyond those that are the responsibility of the district, such as:
 1. a nominal amount for food provided as part of a parent meeting or activity;
 2. childcare during parent activities;
 3. printing for parent activities;
 4. books for at-home reading.

After all detail is completed, the user needs to click the **Finish** button. The user must fix all errors appearing in RED. The user must verify any data highlighted with a YELLOW validation edit.

✔ **TIP: Do NOT double-click the Finish button.**

When all information has been entered and corrected on the building SINA Program Budget form, the user will be returned to the SINA Program Home screen and the building SINA budget will display the “District Finished” status. The user may continue to build budgets for additional SINA schools by clicking on the building names in the menu or click on the district SINA Program Budget form to see the total budget figures in each category on the summary table.

When all building SINA Program Budget forms and validation edits are complete, click on the **Finish** button. The user will be returned to the SINA Program Home screen.

Upon completion of all required forms, the **Submit** button will appear at the bottom of the status table on the SINA Program Home screen. Clicking the **Submit** button will send an automatic e-mail to notify the SEA that the district has completed the SINA application process.

Once the user has clicked the **Submit** button, the district will not be able to make changes to the Title I application forms. If there would be the need to make a change to information submitted in the application, please contact the Title I consultant for your AEA.

If during the course of the SINA budget project year it becomes necessary for the user to amend the identified building budget, please refer to the Title I Amending a Title I Budget section to receive guidance on submitting an amendment to the SINA budget.

At the close of the SINA budget project year, the user should refer to the Title I Reporting Title I Expenditures section to comply with the requirements for reviewing the SINA budget and certifying the SINA project budget as final. School improvement funds must be expended by **June 30**, and final certification of the Title I SINA budget must be finished no later than **July 15**. There are no carryover funds but if the district spent less than the approved amount on the SINA project, the SINA budget must be amended to reflect actual expenditures. Refer to the Amending a Title I Budget section for guidance on amending a SINA budget, if necessary.

SINA/DINA ACTION PLAN

Schools and districts in need of assistance (SINA/DINA) must submit electronically through the Iowa Department of Education web application server a SINA/DINA plan. The action plan may be found at <https://portal.ed.iowa.gov> under C-Plan. Federal legislation requires technical assistance in developing the action plan and implementing instructional strategies to improve student achievement. All Title I schools in need of assistance must develop the two-year action plan in consultation with parents, school staff, the local education agency, and outside experts.

Each AEA has Statewide SINA Support Team members trained to assist schools in the process as prescribed in NCLB, Section 1117. Local school districts are encouraged to avail themselves of the expertise of these individuals. The action plan should be completed, peer reviewed, and submitted to the state Title I office within 90 days of notification (due by November 1, 2014).

As you prepare to update your **two** year plan in the spring, it is important to focus on data relative to administrators, teachers, students, parents, and other stakeholders. It is imperative that the building/district frequently evaluate the success of actions outlined in the SINA/DINA plan. The system must be flexible enough to make appropriate adjustments to the plan **BASED ON DATA** to ensure increased student achievement and appropriate professional development of staff. As you monitor the effectiveness of your plan, always ensure that the actions are systemic in nature.

SINA TIMELINE

When a Title I school fails to make AYP, what is required?

Watch year	SINA/Delay 1	SINA/Delay 2	SINA/Delay 3 (Corrective Action)	SINA/Delay 4 (Plan for Restructuring)	SINA/Delay 5+ (Restructuring)
No actions are required	District Responsibilities: <ul style="list-style-type: none"> ✓ Notify parents ✓ Provide outside technical assistance ✓ Conduct peer reviews ✓ Approve building SINA plans ✓ Offer transfer option <p>Reserve funds-</p> <ul style="list-style-type: none"> ✓ 5% of district Title I allocation for choice-related transportation (unless a smaller amount is needed to comply) ✓ 15% of district Title I allocation for other needs related to choice 	District Responsibilities: <ul style="list-style-type: none"> ✓ Notify parents ✓ Provide outside technical assistance ✓ Conduct peer reviews ✓ Approve building SINA plans ✓ Offer transfer option ✓ Offer Supplemental Educational Services <p>Reserve funds-</p> <ul style="list-style-type: none"> ✓ 5% of district Title I allocation for choice-related transportation (unless a lesser amount is needed to comply) ✓ 5% of district Title I allocation for Supplemental Education Services (unless a smaller amount is needed to comply) ✓ 10% of district Title I allocation for other needs related to choice 	District Responsibilities: <ul style="list-style-type: none"> ✓ Notify parents ✓ Provide outside technical assistance ✓ Choose corrective action for each SINA 3 building from following options: <ul style="list-style-type: none"> ○ replace the school staff who are relevant to the failure to make AYP ○ institute and fully implement a new curriculum, including professional development ○ significantly decrease management at the school ○ extend the school day or school year ○ restructure the internal organization of the school ○ appoint one or more outside experts to advise the school ✓ Publicize and disseminate corrective action to all parents, media, etc. ✓ Provide opportunity for comment on corrective action to teachers and parents ✓ Approve building corrective action plans ✓ Offer transfer option ✓ Offer Supplemental Educational Services <p>Reserve funds-</p> <ul style="list-style-type: none"> ✓ 5% of district Title I allocation for choice-related transportation (unless a lesser amount is needed to comply) ✓ 5% of district Title I allocation for Supplemental Education Services (unless a smaller amount is needed to comply) ✓ 10% of district Title I allocation for other needs related to choice and SES 	District Responsibilities: <ul style="list-style-type: none"> ✓ Notify parents ✓ Provide outside technical assistance ✓ Choose restructuring action for each SINA 4 building from following options: <ul style="list-style-type: none"> ○ public charter ○ replace all/most of staff ○ private management ○ Other major restructuring ✓ Provide opportunity for teacher and parent participation in development of plan ✓ Provide notice of the restructuring action to teachers and parents and opportunity for comment ✓ Approve building restructuring plans ✓ Offer transfer option ✓ Offer Supplemental Educational Services <p>Reserve funds-</p> <ul style="list-style-type: none"> ✓ 5% of district Title I allocation for choice-related transportation (unless a lesser amount is needed to comply) ✓ 5% of district Title I allocation for Supplemental Education Services (unless a smaller amount is needed to comply) ✓ 10% of district Title I allocation for other needs related to choice and SES 	District Responsibilities: <ul style="list-style-type: none"> ✓ Notify parents ✓ Provide outside technical assistance ✓ Ensure implementation of restructuring action planned in SINA 4 for each SINA 5 building ✓ Offer transfer option ✓ Offer Supplemental Educational Services <p>Reserve funds-</p> <ul style="list-style-type: none"> ✓ 5% of district Title I allocation for choice-related transportation (unless a lesser amount is needed to comply) ✓ 5% of district Title I allocation for Supplemental Education Services (unless a smaller amount is needed to comply) ✓ 10% of district Title I allocation for other needs related to choice and SES

Watch year	SINA/Delay 1	SINA/Delay 2	SINA/Delay 3 (Corrective Action)	SINA/Delay 4 (Plan for Restructuring)	SINA/Delay 5+ (Restructuring)
	Building Responsibilities: <ul style="list-style-type: none"> ✓ Develop and implement a SINA plan ✓ Align SINA budget and action plan ✓ Define root cause of building missing AYP and identify how plan will improve academic achievement <p>Reserve funds-</p> <ul style="list-style-type: none"> ✓ Reserve and spend 10% of building Title I allocation for professional development in the area of identification State Responsibilities: <ul style="list-style-type: none"> ✓ Make technical assistance available ✓ If SEA determines that an LEA failed to carry out its responsibilities, take such corrective actions as SEA determines to be appropriate and in compliance with State law ✓ Ensure that academic assessment results are provided to schools ✓ Notify Secretary of major factors that were brought to the attention of the SEA that have significantly affected student academic achievement 	Building Responsibilities: <ul style="list-style-type: none"> ✓ Develop and implement a SINA plan ✓ Align SINA budget and action plan ✓ Define root cause of building missing AYP and identify how plan will improve academic achievement <p>Reserve funds-</p> <ul style="list-style-type: none"> ✓ Reserve and spend 10% of building Title I allocation for professional development in the area of identification State Responsibilities: <ul style="list-style-type: none"> ✓ Make technical assistance available ✓ If SEA determines that an LEA failed to carry out its responsibilities, take such corrective actions as SEA determines to be appropriate and in compliance with State law ✓ Ensure that academic assessment results are provided to schools ✓ Notify Secretary of major factors that were brought to the attention of the SEA that have significantly affected student academic achievement 	Building Responsibilities: <ul style="list-style-type: none"> ✓ Develop and implement plan for corrective action ✓ Define root cause of building missing AYP and identify how plan will improve academic achievement ✓ Align SINA budget and action plan State Responsibilities: <ul style="list-style-type: none"> ✓ Make technical assistance available ✓ If SEA determines that an LEA failed to carry out its responsibilities, take such corrective actions as SEA determines to be appropriate and in compliance with State law ✓ Ensure that academic assessment results are provided to schools ✓ Notify Secretary of major factors that were brought to the attention of the SEA that have significantly affected student academic achievement 	Building Responsibilities: <ul style="list-style-type: none"> ✓ Develop plan for restructure ✓ Define root cause of building being identified for restructuring and identify how plan will improve academic achievement ✓ Continue to implement corrective action ✓ Align SINA budget and action plan State Responsibilities: <ul style="list-style-type: none"> ✓ Make technical assistance available ✓ If SEA determines that an LEA failed to carry out its responsibilities, take such corrective actions as SEA determines to be appropriate and in compliance with State law ✓ Ensure that academic assessment results are provided to schools ✓ Notify Secretary of major factors that were brought to the attention of the SEA that have significantly affected student academic achievement 	Building Responsibilities: <ul style="list-style-type: none"> ✓ Implement restructuring plan ✓ Align SINA budget and action plan State Responsibilities: <ul style="list-style-type: none"> ✓ Make technical assistance available ✓ If SEA determines that an LEA failed to carry out its responsibilities, take such corrective actions as SEA determines to be appropriate and in compliance with State law ✓ Ensure that academic assessment results are provided to schools ✓ Notify Secretary of major factors that were brought to the attention of the SEA that have significantly affected student academic achievement

Note: Please refer to detailed summary on DE website for specific requirements.

DINA TIMELINE

When a district fails to make AYP, what must it do?

Watch Year	Year 1	Year 2	Year 3+
	Corrective Action		
No actions are required of the district	<p>District Responsibilities:</p> <ul style="list-style-type: none"> ✓ Complete questions through the Consolidated Plan (C-Plan). ✓ Reserve 10% of district Title I allocation for professional development in the area of identification. <p>State Responsibilities:</p> <ul style="list-style-type: none"> ✓ Provide technical or other assistance if requested, as authorized under Section 1117, to better enable the local educational agency to—(i) develop and implement the local educational agency’s plan; and (ii) work with schools needing improvement. ✓ Technical assistance provided by the State educational agency or an entity authorized by such agency shall be supported by effective methods and instructional strategies based on scientifically based research. Such technical assistance shall address problems, if any, in implementing the parental involvement activities described in Section 1118 and the professional development activities described in Section 1119. 	<p>District Responsibilities:</p> <ul style="list-style-type: none"> ✓ Complete questions through the Consolidated Plan (C-Plan). ✓ Reserve 10% of district Title I allocation for professional development in the area of identification. <p>State Responsibilities:</p> <ul style="list-style-type: none"> ✓ Provide technical or other assistance if requested, as authorized under Section 1117, to better enable the local educational agency to—(i) develop and implement the local educational agency’s plan; and (ii) work with schools needing improvement. ✓ Technical assistance provided by the State educational agency or an entity authorized by such agency shall be supported by effective methods and instructional strategies based on scientifically based research. Such technical assistance shall address problems, if any, in implementing the parental involvement activities described in Section 1118 and the professional development activities described in Section 1119. 	<p>District Responsibilities:</p> <ul style="list-style-type: none"> ✓ Participate in outside technical assistance including the development of a corrective action plan. ✓ Implement a system of corrective action as defined by the State. <p>State Responsibilities:</p> <ul style="list-style-type: none"> ✓ State agency shall take at least one of the following corrective actions consistent with State law: <ul style="list-style-type: none"> • Defer programmatic funds or reduce administrative funds. • Implement a new curriculum. • Replace superintendent with outside agency. • Abolish or restructure district. ✓ Provide technical or other assistance if requested, as authorized under Section 1117, to better enable the local educational agency to—(i) develop and implement the local educational agency’s plan; and (ii) work with schools needing improvement. ✓ Technical assistance provided by the State educational agency or an entity authorized by such agency shall be supported by effective methods and instructional strategies based on scientifically based research. Such technical assistance shall address problems, if any, in implementing the parental involvement activities described in Section 1118 and the professional development activities described in Section 1119.

SINA SET-ASIDES

For technical assistance with Choice and Supplemental Education Services, contact Susan Selby at 515/281-4732 or susan.selby@iowa.gov.

Local Education Agencies, with Title I schools identified as a school in need of assistance (SINA), are required to reserve 20% from the general Title I allocation--with a minimum of 5% for school choice-related transportation and 5% for Supplemental Education Services (SES). This 5% is the minimum that an LEA must reserve for each category. The remaining 10% is to be used to fulfill remaining requests for choice or SES. When deciding how to expend this reserve, districts must keep in mind that they are to fulfill all requests for choice and SES until the reserve has been depleted. It is at this point that district can revert any unexpended funds.

Choice-Related Transportation

The law establishes joint funding for choice-related transportation and Supplemental Education Services (SES). Unless a lesser amount is needed to meet demand for choice-related transportation and to satisfy all requests for SES, an LEA must spend an amount equal to 20 percent of its Title I, Part A allocation. If an LEA spends less than the amount needed to meet its 20 percent obligation, it must meet the following criteria before it may use unexpended funds from the 20 percent obligation for other allowable activities.

ASSURANCES

The district has met the following criteria:

- a. Partnered to the extent practicable, with outside groups, such as faith-based organizations, other community-based organizations, and business groups, to help inform eligible students and their families of the opportunities to transfer or to receive supplemental education services.
- b. Ensured that eligible students and their parents have a genuine opportunity to sign up to transfer or to obtain supplemental education services by—
 - 1) Providing timely, accurate notice
 - 2) If applicable, ensuring that sign-up forms for supplemental education services are distributed to all eligible students and their parents and are made widely available and accessible through broad means of dissemination, such as the Internet, other media, and communications through public agencies serving eligible students and their families
 - 3) If applicable, providing a minimum of two enrollment “windows,” at separate points in the school year, that are of sufficient length to enable parents of eligible students to make informed decisions about requesting supplemental education services and selecting a provider
 - 4) If applicable, ensuring that eligible supplemental services providers are given access to school facilities, using a fair, open, and objective process, on the same basis and terms as are available to other groups that seek access to school facilities.
- c. Assures that funds will be reverted to the district’s general Title I budget and expended in compliance with all Federal and State laws, rules, and regulations regarding Title I programming.

In addition, an LEA that spends less than the amount needed to meet its 20 percent obligation and does not intend to spend the unexpended amount in the subsequent school year must maintain records that demonstrate it has met the criteria above and must notify the SEA that it has met the criteria and intends to spend the remainder of its 20 percent obligation on other allowable Title I activities.

Districts must notify the Iowa Department of Education if they do not intend to spend the total 20 percent set aside.

Please contact Susan Selby at susan.selby@iowa.gov for the form, “NOTIFICATION – Unexpended Funds for Choice-Related Transportation & Supplemental Education Services” or access it through this

link <\\Ed\data\EDGroup\Title One\Notifications of Unexpended Funds\Notification of unexpended funds 2013.8.29.docx>.

SCHOOL CHOICE / TITLE I SCHOOLS

When a school is identified as SINA, what must they do?

Upon identification of status as a school in need of assistance, the district must use an Iowa Department of Education template to provide parents with written information regarding the following:

- ◆ Reason for identification.
- ◆ What identification means.
- ◆ Comparison of building achievement to other buildings in the district.
- ◆ Opportunities for parents to become involved in the SINA process and student success.
- ◆ School choice/transfer options
 - Including, at minimum, the academic achievement levels at choice option schools.
- ◆ Details about actions the school is taking to address low performance.
- ◆ Details of what SEA/LEA is doing to assist the identified school.

When must Title I schools identified as SINA offer public school choice to their students?

Title I schools must offer public school choice to their students if the school is:

- ◆ In the first year of school improvement,
- ◆ In the second year of school improvement,
- ◆ In corrective action, or
- ◆ In the planning year for restructuring.

The district must report to the Iowa Department of Education, through Student Reporting in Iowa (SRI), the following for each identified building:

- ◆ The number of students eligible for choice.
- ◆ The number of students requesting choice.
- ◆ The number of students granted choice.

[Title I, section 1111(h)(4)(F)].

Which students in a Title I SINA school are eligible for the school choice option?

All students enrolled in a Title I SINA school are eligible for choice.

What if it is not possible to offer the school choice transfer option to all students requesting it?

Priority must be given to the lowest achieving, low income students.

Which schools can receive students through the school choice transfer option?

Any school offered as a choice option must have higher academic performance than the school of origin and may not be identified for improvement.

If more than one school is available as a choice option, the LEA must offer more than one school choice to eligible students.

Which schools in the LEA cannot receive students for the school choice option?

Students may not transfer to any schools that:

- ◆ Have been identified for improvement, corrective action, or the planning year of restructuring; or
- ◆ Have been identified by the State as persistently lowest-achieving.

How are parents to be notified about the school choice option?

Parents should be notified about the school choice option by using the letter templates provided by the Iowa Department of Education at <https://www.educateiowa.gov/pk-12/no-child-left-behind/schools-and-districts-need-assistance-sinadina/guidance-schools-and>.

- ◆ An LEA must provide a written explanation of the school choice transfer option to all parents of students enrolled in Title I schools that have been identified as having to provide choice. The explanation must assure that parents will understand what services are offered in receiving schools.
- ◆ This notification must be in a comprehensive, easy-to-understand format and to the extent practicable, in a language the parents can understand.
- ◆ At a minimum, this notification must:
 - Inform parents that their child is eligible to attend another public school due to the less than adequate performance of their current school;
 - Identify each public school, including public charter schools, that the parent can select; and
 - Describe the performance and overall quality of those schools.

How long must a school offer the school choice option?

If an eligible student exercises his or her school choice option, an LEA must permit the student to remain in the new school until the student has completed the highest grade in the school.

The LEA is no longer obligated to provide transportation for the student after the end of the school year in which the student's school of origin is no longer identified for school improvement, corrective action, or in the planning year of restructuring.

What if no receiving schools are available to receive students through the school choice transfer option?

Parents must *still* be notified that their child's school is identified for school improvement and that the child is eligible for the school choice transfer option, but that no choices are currently available.

Such notification **may** also inform parents of the option of supplemental education services for all children who are eligible.

- ◆ This may occur when all schools at a grade level are in school improvement. In this case, the LEA shall, to the extent practicable, establish a cooperative agreement with other LEAs in the area.
- ◆ Other situations may also exist, such as where there is only one school in the district or when the rural or isolated nature of an LEA prevents the school choice option.

What are the responsibilities of the receiving school?

A school that receives students under the school choice option must ensure that the students are enrolled in classes and other activities in the school in the same manner as all other students in the school.

What about transportation related to the school choice option?

An LEA with a school in need of assistance must pay for, or provide, transportation to the new school as a result of the school choice option.

- ◆ An LEA is responsible for transportation until the school of origin is no longer in improvement status.

The following is how an LEA may fund transportation costs for the school choice option:

- ◆ Unless a lesser amount is needed to meet demand for choice-related transportation and to satisfy all requests for supplemental education services, an LEA must spend up to an amount equal to 20 percent of its **Title I, Part A allocation**, before any reservations, for:
 - Choice-related transportation;
 - Supplemental education services; or
 - A combination of choice-related transportation and supplement education services.

If necessary, the LEA must establish priorities in determining who receives services.

- ◆ When more students request services than the school district can fund, the district must place a priority on serving students who are the lowest achieving.

SUPPLEMENTAL EDUCATION SERVICES

Each summer Local Education Agencies (LEAs) across Iowa complete their Adequate Yearly Progress (AYP) site for their schools. Some Title I schools will be identified as Schools in Need of Assistance (SINA) for two or more years. These SINA 2 or higher schools will need to meet the federal Supplemental Education Services (SES) regulations.

Supplemental education services (SES) is additional academic instruction designed to increase the academic achievement of eligible students in schools in the second year of improvement, corrective action, or restructuring. These services, which are in addition to instruction provided during the school day, may include academic assistance such as tutoring, remediation and other supplemental academic enrichment services that are consistent with the content and instruction used by the LEA. SES must be high quality, research-based, and specifically designed to increase student academic achievement.

The Iowa Department of Education (IDE) must approve SES provider applications and post the approved list on the IDE website at: <https://www.educateiowa.gov/documents/title-i/2014/09/supplemental-educational-services-provider-list>.

Section 1116 of NCLB requires “*the local educational agency* to develop, in consultation with parents **(and the provider chosen by the parents)** a statement of specific achievement goals for the student, how the student’s progress will be measured, and a timetable for improving achievement” [Section 1116(e)(3)(A)].

It is the responsibility of the LEA, not the responsibility of a provider, to ensure that an agreement is completed for each student participating in SES and that each agreement includes the information required under the statute. However, an LEA and a provider may agree that the provider will complete, on behalf of the LEA, the agreement for each student the provider serves. An LEA cannot require a provider to develop the agreements for the students it serves, absent the provider’s consent. Ultimately, the LEA is responsible for reviewing and approving all agreements, and for making sure that all agreements, whether developed by the LEA or by a provider on behalf of the LEA, are completed for all students participating in SES and include the required information.

Additionally, LEAs may be contacted by SES providers wishing to discuss their services for students. LEAs should make every attempt to foster a cooperative relationship with SES providers who will be working with students from the identified school.

Full SES guidance can be found at: <http://www2.ed.gov/policy/elsec/guid/suppsvcsguid.doc>.

Understanding Supplemental Education Services (SES):

Supplemental education services must be:

- ◆ High quality, research-based tutorial programs.
- ◆ Designed to increase the academic achievement of children.
- ◆ Explained to parents so they are given the opportunity to select a service from a list of State-approved providers.

- ◆ Outside the regular school day.
- ◆ Aligned with district content standards and instruction.

Note: The district is not required to provide transportation for off-site SES.

Schools identified as a school in need of assistance in year 2 must:

- ◆ Offer supplemental education services to all low-income students.
- ◆ Offer choices of multiple State-approved supplemental education services providers.
- ◆ Set aside funds to pay the per pupil allocation for services provided.
- ◆ Assure that the school, parent, and supplemental education services provider work together.
- ◆ Work with the supplemental education services provider to design an individual student academic plan.

State Role in Supplemental Education Services:

The Iowa Department of Education will:

- ◆ Control the SES provider approval process.
- ◆ Assist with the monitoring of services and program implementation.
- ◆ Notify districts of changes/updates with Title I legislation regarding supplemental education services.

District Role in Supplemental Education Services:

The local education agency will:

- ◆ Collaborate with the Iowa Department of Education in identifying potential providers within the LEA.
- ◆ Notify parents at least twice per year of SES availability. There must be at least two enrollment times per year.
- ◆ Ensure that parents have current information, in a timely manner, by prominently displaying on district web site:
 - The number of students eligible for and the number of students who receive SES each year;
 - The most current list of approved SES providers;
 - The location of supplemental education services in the district to ensure that parents have current information regarding district SES.
- ◆ Establish a process by which parents may sign students up for supplemental education services.
- ◆ If requested, assist parents in choosing a provider.
- ◆ Develop an individual student plan (ISP) for each student served.
- ◆ Enter into a contractual agreement with parent-selected SES providers regarding expectations for service, individual student academic plans and financial arrangements.
- ◆ Establish fair and equitable procedures for serving students if all students cannot be served.
- ◆ Ensure that eligible students with disabilities and limited English proficiency receive appropriate services.
- ◆ Protect the privacy of students who are eligible for or receive SES.
- ◆ Pay the per pupil allocation for services provided.
- ◆ Monitor SES program implementation.
- ◆ Meet with SES providers regularly.
- ◆ The district must report to the Iowa Department of Education the following for each identified building:
 - ❖ The number of students eligible for SES
 - ❖ The number of students requesting SES
 - ❖ The number of students receiving SES
- ◆ Meet the 20% SES obligation. If an LEA spends less than the 20%, it must spend the remainder on SES in the following school year in addition to the 20% required in the following school year or complete a Notification of Unexpended Funds. Contact Susan Selby at susan.selby@iowa.gov

for the form or access it through this link <\\Ed\data\EDGroup\Title One\Notifications of Unexpended Funds\Notification of unexpended funds 2013.8.29.docx>.

Supplemental Education Services (SES) Notifications:

An LEA should work to ensure that parents have comprehensive, easy-to-understand information about SES [Section 1116(e)(2)]. AN LEA's notice to parents must:

- ◆ Explain how parents can obtain SES for their child.
- ◆ Identify each approved SES provided within the LEA or in its general geographic location, including providers that are accessible through technology, such as distance learning.
- ◆ Describe briefly the services, qualifications and evidence of effectiveness for each provider.
- ◆ Indicate providers that are able to serve students with disabilities or LEP students.
- ◆ Include an explanation of the benefits of receiving supplemental education services.

The LEA's notice to parents should also:

- ◆ Describe the procedures and timelines that parents must follow to select a provider to serve their child, such as where and when to return a completed application.
- ◆ Explain how the LEA will notify parents about enrollment dates and start dates.
- ◆ Provide LEA contact information.
- ◆ Include information, in the parental notification, on how the LEA will set priorities in order to determine which eligible students receive services if there are not sufficient funds to serve all eligible students.

In addition:

- ◆ Local education agencies may be contacted by supplemental education services providers wishing to discuss their services for students.
- ◆ LEAs should make every attempt to foster a cooperative relationship with SES providers who will be working with students from the identified school.
- ◆ Parents must be notified of their child's eligibility for services.
- ◆ There are no "preferred" supplemental education services providers.

Supplemental Education Services Providers:

All supplemental education services providers **including districts must** be approved by the Iowa Department of Education. SES providers may include:

- ◆ Private providers—individuals or corporations.
- ◆ The local education agency for identified schools within or outside of the LEA.
- ◆ School buildings within the LEA.
- ◆ Area education agencies.

Please Note: Districts in Need of Assistance (DINAs) are not eligible to become approved SES providers.

The SES provider application can be found on the web site of the Iowa Department of Education at the following location: <https://www.educateiowa.gov/pk-12/no-child-left-behind/supplemental-educational-services-ses>.

Supplemental Education Service Provider Role in Supplemental Education Services:

The SES provider will:

- ◆ Ensure that instruction is research based, of high quality and is consistent with local academic standards.
- ◆ Be approved by the Iowa Department of Education as a recognized supplemental education services provider.
- ◆ Provide academic assistance to students outside of the regular school day in a secular, neutral and non-ideological environment.
- ◆ Work collaboratively with the LEA, SINA building principals, and parents.
- ◆ Assist each student in meeting specific achievement goals as determined in consultation with LEA, the provider and the student's parents.
- ◆ Adhere to timetable for improving student's achievement as determined in consultation with LEA, the provider and the student's parents.

- ◆ Measure students' progress and regularly provide written feedback to the parents and classroom teachers regarding individual student progress (ISP reporting).
- ◆ Ensure confidentiality for any student eligible for or receiving SES without written permission of student's parents.
- ◆ Meet all applicable federal, state and local health, safety, and civil rights laws.

Calculating Supplemental Education Services Costs:

Districts must set aside from Title I Part A funds an equivalent of 20% of the Title I allocation for SES/school choice, unless parent demand for SES/school choice transportation can be met with less.

The 20% of the Title I allocation set aside is reserved as:

- ◆ 5% for school choice.
- ◆ 5% for supplemental education services.
- ◆ Remaining 10% available for supplemental education services and/or school choice as need demands.

Calculating the Per Pupil Allocation:

- ◆ Section 1116 (e)(6) requires that each student receiving supplemental education services must get the **lesser** of:
 - The ED calculated per pupil amount for supplemental education services;
 - OR**
 - The actual costs of Title I supplemental education services the student receives.
- ◆ The calculated per pupil amount is available on the Iowa Department of Education web site under Title I allocations for the 2013-2014 school year. The per pupil amount represents the LEA Title I Part A allocation divided by the U.S. Department of Education poverty formula child count.

IOWA SUPPORT TEAM FOR SCHOOLS AND DISTRICTS IN NEED OF ASSISTANCE (SINA/DINA)

The Iowa Support System for Schools and Districts in Need of Assistance (SINA and DINA) has been developed in response to state and federal legislation under NCLB. The legislation requires that "each state shall establish a statewide system of intensive and sustained support and improvement." Within three months following identification by the Iowa Department of Education, No Child Left Behind requires that a School in Need of Assistance develop a two-year plan that:

- addresses core academic subjects;
- utilizes scientifically researched strategies;
- implements new teacher mentoring;
- includes parent involvement activities; and
- provides for a peer review of the plan.

The purpose of the Iowa Support System for Schools and Districts in Need of Assistance (SINA and DINA) is to assist the districts'/schools' achievement of the following:

- Educate all students to high standards;
- Strengthen the internal capacity of each district and school;
- Focus accountability on results; and
- Integrate quality educational practices with local decision making.

The Iowa Support Team consists of representatives from each of Iowa's Area Education Agencies and Iowa Department of Education Title I staff. For a current listing of the Iowa Support Team members, follow this link to the DE web site: <https://www.educateiowa.gov/documents/pk-12/2013/04/iowa-support-team-members>.